


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Substitute for form 1449B/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> Date Submitted: October 20, 2003 (use as many sheets as necessary)				<b>Complete if Known</b>		
				Application Number		09/971,087
				Filing Date		10/05/2001
				First Named Inventor		Gay Allan KEMP, II
				Group Art Unit		3624
				Examiner Name		R. Weisberger
Sheet 1 of 2				Attorney Docket Number		024051/0146

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
[Signature]	A1	5,689,651		LOZMAN	11/18/1997	
	A2	5,774,877		PATTERSON, JR. ET AL.	06/30/1998	
	A3	5,793,301		PATTERSON, JR. ET AL.	08/11/1998	
	A4	5,797,002		PATTERSON, JR. ET AL.	08/18/1998	
	A5	5,845,266		LUPIEN ET AL.	12/01/1998	
	A6	5,915,245		PATTERSON, JR. ET AL.	06/22/1999	
	A7	5,963,923		GARBER	10/05/1999	
	A8	6,012,046		LUPIEN ET AL.	01/04/2000	
	A9	6,014,643		MINTON	01/11/2000	
	A10	6,098,051		LUPIEN ET AL.	08/01/2000	
	A11	6,195,647		MARTYN ET AL.	02/27/2001	
	A12	6,272,474		GARCIA	08/07/2001	
	A13	6,278,982		KORHAMMER ET AL.	08/21/2001	
	A14	4,903,201		WAGNER	02/20/1990	
	A15	5,101,353		LUPIEN ET AL.	03/31/1992	
	A16	5,946,667		TULL, JR. ET AL.	08/31/1999	
	A17	6,035,287		STALLAERT ET AL.	03/07/2000	
	A18	4,674,044		KALMUS ET AL.	06/18/1987	
	A19	4,750,135		BOILEN	08/07/1988	
	A20	5,270,922		HIGGINS	12/14/1993	
	A21	5,924,083		SILVERMAN ET AL.	07/13/1999	
	A22	2002/0055899		WILLIAMS	05/09/2002	
	A23	2002/0138401		ALLEN ET AL.	09/26/2002	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	A24	PCT	WO 95/26005	A1	BELZBERG, Sydney H.	09/28/1995		
	A25	PCT	WO99/30259	A1	NIPPON STEEL CORPORATION	06/17/1999		Abs.

NON PATENT LITERATURE DOCUMENTS			
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[Signature]	A26	<a href="http://www.tradingtechnologies.com/products/xtrade_full.html">www.tradingtechnologies.com/products/xtrade_full.html</a>	

Examiner Signature	Date Considered	
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<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

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Substitute for form 1449B/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  Date Submitted: October 20, 2003  <i>(use as many sheets as necessary)</i>				Application Number	09/971,087
				Filing Date	10/05/2001
				First Named Inventor	Gay Allan KEMP, II
				Group Art Unit	3624
				Examiner Name	R. Weisberger
Sheet	2	of	2	Attorney Docket Number	024051/0146

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
	A27	JIM KHAROUF et al., "A trading room with a view", Futures, November 1998, 6 pages, Vol. 27-No. 11.	

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<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**Date Submitted: November 14, 2002**

(use as many sheets as necessary)

Sheet	1	of	1
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**Complete if Known**

<b>Application Number</b>	09/871,087
<b>Filing Date</b>	October 5, 2001
<b>First Named Inventor</b>	Gary Allan KEMP, II et al.
<b>Group Art Unit</b>	3624
<b>Examiner Name</b>	Weissberger, R.
<b>Attorney Docket Number</b>	024051-0146

## U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	A1	5,077,665		SILVERMAN et al.	12/31/1991	
	A2	5,138,501		SILVERMAN et al.	08/04/1992	
	A3	5,297,031		GUTTERMAN et al.	03/22/1994	
	A4	5,924,082		SILVERMAN et al.	07/31/1999	
	A5	6,131,087		LUKE et al.	10/10/2000	
	A6	6,134,535		BELZBERG	10/17/2000	
	A7	2002/0023038		FRITSCH et al.	02/21/2002	
	A8	6,408,282		BUIST	06/1/2002	

## FOREIGN PATENT DOCUMENTS

Examiner Initials <sup>2</sup>	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> <i>(if known)</i>				
	A9		WO 00/52619		PCT	09/08/2000		
	A10		WO 00/62187		PCT	10/19/2000		
	A11		WO 01/16852		PCT	03/08/2001		

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

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INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

Date Submitted: February 11, 2003  
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Sheet 1 of 1

Complete if known

Application Number 09/871,087

Filing Date October 5, 2001

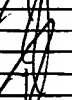
First Named Inventor Gary Allan KEMP, II et al.

Group Art Unit 3624

Examiner Name Weisberger, R.

Attorney Docket Number 024051-0146

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	A1	5,297,032		TROJAN et al.	03/22/1994	

FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document		Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	A2		WO 00/65510	PCT	11/02/2000		
	A3		WO 01/16830	PCT	03/08/2001		
	A4		WO 01/16852	PCT	03/08/2001		
	A5		WO 01/22315	PCT	03/29/2001		
	A6		WO 01/88808	PCT	11/22/2001		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
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Sheet	1	of	1
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<b>Application Number</b>	09/971,087
<b>Filing Date</b>	October 5, 2001
<b>First Named Inventor</b>	Gary Allan KEMP, II et al
<b>Group Art Unit</b>	3624
<b>Examiner Name</b>	Welsberger, R.
<b>Attorney Docket Number</b>	024051-0148



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